

AF/3738  
JF



PATENT  
Attorney Docket No. 13971US04

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of: )  
)  
Jamie Grooms et al. )  
)  
Serial No. 09/905,683 )  
)  
Filed: July 16, 2001 )  
)  
For: MULTI-COMPONENT CORTICAL )  
BONE ASSEMBLED IMPLANT )  
)  
Examiner: Bruce Edward Snow )  
)  
Group Art Unit: 3738 )  
)  
Confirmation No.: 4376 )

TRANSMITTAL OF  
COURTESY COPY OF INFORMATION DISCLOSURE STATEMENT AFTER FILING  
OF APPEAL BRIEF

Mail Stop Appeal Brief – Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:


Appellants hereby submit a copy of Information Disclosure documents and references filed June 21, 2007 in the present application, now under appeal, to disclose references cited in two European Search Reports relating to the parent of the present application.

In accordance with 37 CFR §1.97(d), a \$180 fee was included because each item of information contained in the enclosed Information Disclosure Statement was cited in published European Search Reports on March 21, 2007, not more than three months prior to the filing of this statement, but after the mailing of a Final Office Action.

Pending the outcome of the appeal, appellants believe this paper and enclosures are entitled to consideration under 37 C.F.R. § 1.97.

Respectfully submitted,

Dated: June 21, 2007

  
\_\_\_\_\_  
Jennifer E. Lacroix  
Reg. No. 46,852  
Attorney for applicants

McAndrews, Held & Malloy, Ltd.  
34th Floor  
500 West Madison Street  
Chicago, IL 60661  
(312) 775-8000



**PATENT**  
**Attorney Docket No. 13971US04**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the Application of:	)	<b>Filed Electronically on:</b>
	)	<b>June 21, 2007</b>
Jamie Grooms et al.	)	
	)	
Serial No. 09/905,683	)	
	)	
Filed: July 16, 2001	)	
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For: MULTI-COMPONENT CORTICAL	)	
BONE ASSEMBLED IMPLANT	)	
	)	
Examiner: Bruce Edward Snow	)	
	)	
Group Art Unit: 3738	)	
	)	
Confirmation No.: 4376	)	

**TRANSMITTAL OF SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT  
AFTER APPLICATION FILING DATE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**ENCLOSURES**

Enclosed are the following:

- \* A completed PTO form SB/08A.
- \* A copy of the European Search Report for EP application, No. 06017260 corresponding to the parent of the above application.
- \* A copy of the European Search Report for EP application, No. 06017261 corresponding to the parent of the above application.

- \* A copy of each foreign reference listed in the accompanying Search Reports that has not previously been provided by or to the PTO in this application.
- \* A concise explanation under 37 C.F.R. §1.98(a)(3)(i) of the relevance of each foreign-language, non-translated patent or published application. See the enclosed Attachment A.

#### **FEE DETERMINATION**

- \* A fee of \$180 is believed to be due because:

In accordance with 37 CFR §1.97(d), each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this statement but this statement and enclosures are being filed after a Final Office Action has mailed by the PTO.

#### **FEE PAYMENT**

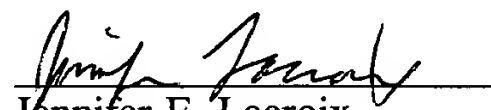
The Commissioner is hereby authorized to charge \$180 (to cover the Information Disclosure Statement Fee) and any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

#### **REQUEST FOR CONSIDERATION**

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above.

Respectfully submitted,

Dated: June 21, 2007

  
Jennifer E. Lacroix  
Reg. No. 46,852  
Attorney for applicants

McAndrews, Held & Malloy, Ltd.  
34th Floor  
500 West Madison Street  
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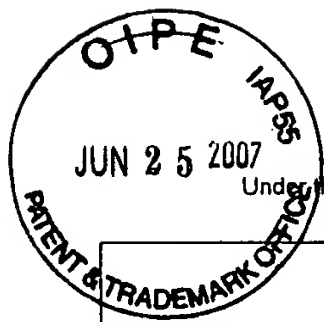


ATTACHMENT A:

**CONCISE EXPLANATIONS OF FOREIGN-LANGUAGE,  
NON-TRANSLATED PATENTS OR PUBLISHED APPLICATIONS**

**FR 2724312**

A spacer, designed to be inserted between two adjacent vertebrae to re-establish anatomically the correct gap between them, consists of at least one element formed from a rigid or slightly resilient vertical wall open at the top and bottom to allow it to be filled with bone tissue, and shaped so that it can be inserted between two vertebrae without major mechanical intervention. The upper and lower edges of the spacer elements have points or are roughened to ensure that they anchor into the bones of the vertebrae, and their walls are shaped to make the elements broader and deeper at the front than at the back. The spacer elements are made in one piece by machining or molding e.g. from a titanium alloy with or without a coating, a polymer or other biocompatible radio-transparent material or a polymer with microelasticity which promotes bone fusion.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

( Not for submission under 37 CFR 1.99)

Application Number 09905683

Filing Date 2001-07-16

First Named Inventor Jamie Grooms

Art Unit 3738

Examiner Name Bruce Edward Snow

Attorney Docket Number 13971US04

**U.S.PATENTS**

Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	4950296	B1	1990-08-21	McIntyre, Jonathan L.	
	2	5728159	B1	1998-03-17	Rainey, Thomas P. et al.	
	3	3848601	B1	1974-11-19	Ma, G. et al.	
	4	5397364	B1	1995-03-14	Kozak, Jeffrey et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

**U.S.PATENT APPLICATION PUBLICATIONS**

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information please click the Add button.

**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2i</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Not for submission under 37 CFR 1.99)

JUN 25 2007



Application Number 09905683

Filing Date 2001-07-16

First Named Inventor Jamie Grooms

Art Unit 3738

Examiner Name Bruce Edward Snow

Attorney Docket Number 13971US04

1	WO 9725945	WO	A	1997-07-24	Grivas, Nicholas E. et al.	<input checked="" type="checkbox"/>
2	WO 9817209	WO	B1	1998-04-30	Hoeck, James E. Van	<input checked="" type="checkbox"/>
3	WO 9714378	WO	B1	1997-04-24	Danek Medical Inc.	<input checked="" type="checkbox"/>
4	FR 2724312	FR	B1	1996-03-15	Alby, Albert	<input type="checkbox"/>
5	WO 9715248	WO	B1	1997-05-01	Synthes AG	<input checked="" type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1		<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

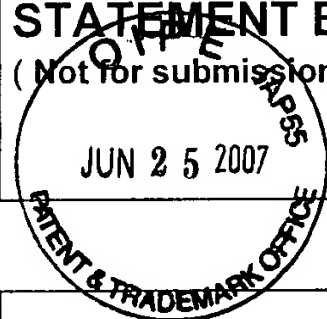
**EXAMINER SIGNATURE**

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Not for submission under 37 CFR 1.99)



Application Number		09905683
Filing Date		2001-07-16
First Named Inventor	Jamie Grooms	
Art Unit	3738	
Examiner Name	Bruce Edward Snow	
Attorney Docket Number	13971US04	

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☒ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	2007-06-21
Name/Print	Jennifer E. Lacroix	Registration Number	46,852

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**





## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.